

PRIVACY ACT STATEMENT

AUTHORITY:

Collection of the information requested by this form is authorized under: Public Law 103-359, Title VIII, Counterintelligence and Security Enhancement Act of 1994; Executive Order (E.O.) 12968, Access to Classified Information, Section 1.3; 50 U.S.C. 401-413, National Security Act of 1947; as amended; Public Law 104-134 (April 26, 1996), as amended in title 31, section 7701; E.O. 10450, Security Requirements for Government Employees; E.O. 10865, Safeguarding Classified Information Within Industry; E.O. 12958, Classified National Security Information, as amended; 5 U.S.C. 301, Department Regulations; and E.O. 12333, United States Intelligence Activities.

CONSEQUENCES:

Failure to furnish the requested information could result in your being considered unfavorably for new or continued access to particularly sensitive classified information as defined by E.O. 12968.

PRINCIPAL PURPOSE:

The information will be used to help make personnel security determinations, including whether to grant a security clearance; to allow access to classified information, sensitive areas, and equipment; or to permit assignment to sensitive national security positions. The data may later be used as part of a review process to evaluate continued eligibility for access to classified information or as evidence in legal proceedings. (See Routine Uses.)

ROUTINE USES:

Information may be disclosed to individuals, entities, or agencies in order to assist the U.S. Government in connection with investigating or resolving security, counterintelligence, or federal employment suitability matters.

Information may be disclosed to local, state, or federal agencies or entities for security or counterintelligence purposes or when the information alone, or in conjunction with other information, indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature.

Information may be disclosed to cooperating foreign government officials for security or counterintelligence purposes.

Information may be disclosed when required by federal statute.

FINANCIAL DISCLOSURE REPORT INSTRUCTIONS

SCOPE OF DISCLOSURE:

Disclose the requested information concerning income, assets and liabilities generated, held or incurred by you, your spouse (your legal wife or husband) and any of your dependent children* including any legal or beneficial interest. Do not include spousal information where there is a legal separation. Do not report financial information for any person living with you other than your spouse and your dependent children. On those accounts where you maintain signature access only in the event of an emergency you are not required to list the account balances.

*The term "dependent child" means your son, daughter, stepson, or stepdaughter if such person is unmarried, under age 21, living in your household, and a "dependent" of yours within the meaning of section 152 of the Internal Revenue Code of 1986.

The reporting period for the Financial Disclosure Report is the preceding calendar year. If you cannot locate the exact amount, please list your best honest estimate.

ADDITIONAL ENTRIES for Sections 2 through 13 are available on pages 3 and 4 of the SF 714.

Section 1 - EMPLOYEE IDENTIFICATION

1a. Name

Enter your full name (Last, First, Middle Initial).

1b. Date of Birth

Enter your date of birth using the following format (MM/DD/YYYY).

1c. Social Security Number

Enter your SSN using the following format (###-##-####).

The Privacy Act, 5 U.S.C. 552a, requires that federal agencies inform individuals at the time information is solicited from them, whether the disclosure is mandatory or voluntary, by the authority such number is solicited and what uses will be made of the information. You are hereby advised that the authority for soliciting your Social Security Number (SSN) is Public Law 104-134 (April 26, 1996), as amended in title 31, section 7701. The disclosure of your SSN is voluntary. It will be used to confirm your identity.

1d. Reserved for Agency Use

1e. Home Address

Enter your home street address, apartment number, city, state, country, and 5 digit zip code.

1f. Marital Status

Enter one of the following letters to describe your marital status:

- Si = Single
- M = Married
- D = Divorced
- W = Widowed
- Se = Separated

1g. Employee Status

Enter one of the following letters to describe your employee status:

- S = Staff
- C = Contractor
- D = Detailee

1h. Assigned Office/and Contact Telephone Number

Enter your assigned office and a contact telephone number.

1i. Company or Home Agency

- If contractor, enter the name of your company.
- If independent contractor, type the word 'Self'.
- If detailee, enter the name of your home agency.

Section 2 - ANNUAL INCOME, U.S. AND FOREIGN

This section is intended to capture total annual income received in payment for you, your spouse and your dependent children's personal services during the preceding calendar year. Do not report annual income if it is less than \$500. Report salary and wages earned even if you, your spouse or your dependent children did not file a tax return. Report one person per row (do not include your spouse's salary and wages in the filer's row even if you filed jointly).

- For Wages & Salary, Non-taxable Income, and Other Income columns, report nothing if values are less than \$500.
- For Interest Income and Dividend Income columns, report nothing if these values are less than \$25.
- Describe non-recurring cash income over \$10,000 in Section 12.

2a. Codes

Enter one of the following letters, per row, to describe the person who earned the income:

- F = Filer
- S = Spouse
- D = Dependent child
- O = Other Individual(s)

Example: A joint account held by husband and wife would be listed as "F,S."

2b. US/Foreign Indicator

Enter whether the income earned was U.S. or foreign.

2c. Annual Salary & Wages

Enter Annual Salary and Wages received in payment for personal services during the preceding calendar year. Do not report annual salary if it is less than \$500. Report salary and wages earned even if you, your spouse or your dependent children did not file a tax return.

2d. Non-Taxable Income

Enter the total amount of Non-Taxable Income received during the preceding calendar year in the form of gifts, inheritances, life insurance proceeds, alimony, child support, veteran's benefits, welfare payments, court awards or settlements for personal injury, worker's compensation, foster care payments, and other non-taxable income (for additional information refer to IRS Publication 525 *Taxable and Nontaxable Income*). Do not report if non-taxable income is less than \$500. Report non-taxable income received even if you, your spouse or your dependent children did not file a tax return.

2e. Interest Income

Enter the total amount of Taxable Interest Income reported for the preceding calendar year. Do not report if taxable interest income is less than \$25. Report interest income received even if you, your spouse or your dependent children did not file a tax return.

2f. Dividend Income

Enter the total amount of Dividend Income reported for the preceding calendar year. Do not report if taxable interest income is less than \$25. Report dividend income received even if you, your spouse or your dependent children did not file a tax return.

2g. Gross Rental Receipts

Enter the total amount of Gross Rental Receipts received for the previous year.

2h. Other Income

Enter the total amount of Other (Taxable) Income received during the preceding calendar year. Do not report if taxable income is less than \$500. Report other income received even if you, your spouse or your dependent children did not file a tax return. If the total of this column is equal to or exceeds \$10,000, provide description identifying the source(s) of the income in Section 12.

2i. Total Annual Income

Add the amount from every column and compute the total for each row.

Section 3 - BANK ACCOUNTS, U.S. AND FOREIGN

This section is intended for you to provide information for any savings or checking accounts which are in the name, or signature authority of you, your spouse, or any of your dependent children during the preceding calendar year. Use one line to report all accounts held by one or more individuals at the same bank, savings bank, savings and loan association, or credit union.

3a. Codes

Enter one or more of the following letters to describe the person(s) who maintain(s) the account:

- F = Filer
- S = Spouse
- D = Dependent child
- O = Other individual(s)

Example: A joint account held by husband and wife would be listed as "F,S."

3b. Institution

Enter the name of the financial institution.

3c. US/Foreign Indicator

Enter whether the account(s) is/are held at a U.S. or foreign financial institution.

3d. Total # of Accounts

Enter the total number of accounts (not account numbers) held at the same financial institution and address as indicated in columns 3b and e.

3e. Address

Enter the address of the financial institution where the account(s) is maintained (Number, Street, City, State, and Zip Code. If foreign, specify country).

3f. Year-End Balance

Enter the grand total of all the account balances taken from December of the preceding calendar year statement.

Section 4 - INVESTMENT ACCOUNTS, U.S. AND FOREIGN

This section is intended for you to provide the following information on any investment accounts which are in the name, or signature authority of you, your spouse, or any of your dependent children during the preceding calendar year. Investment accounts are defined as accounts maintained by stockbrokers, brokerage houses, investment firms, securities dealers, holding companies, limited partnerships, and financial institutions who invest your money in stocks, bonds, mutual funds, certificates of deposit, real estate investment trusts, money market funds, commodities, futures, options, and any other types of securities. IRA's, Keogh accounts, 401K's, thrift savings, and all other forms of retirement accounts should be included in this section. Use one line to report all accounts held by one or more individuals at the same financial institution.

4a. Codes

Enter one or more of the following letters to describe the person(s) who maintain(s) the account:

- F = Filer
- S = Spouse
- D = Dependent child
- O = Other individual(s)

Example: A joint account held by husband and wife would be listed as "F,S."

4b. Institution

Enter the name of the financial institution that maintains the investment account(s).

4c. US/Foreign Indicator

Enter whether the account(s) is held at a U.S. or foreign financial institution.

4d. Total # of Accounts

Enter the number of accounts (not account numbers) held at the financial institution and address indicated in items 4b and e.

4e. Address

Enter the address of the financial institution that maintains the investment account (Number, Street, City, State, and Zip Code. If foreign, specify country).

4f. Amount Invested (Cost Basis)

Enter the total amount invested in all accounts at each institution. You may use the amount invested, or cost basis as reported on your year-end statement or as provided by the financial institution. The amount invested should include original and subsequent purchases of shares of stock and all subsequent reinvestment of dividends and capital gains. The amount invested or cost basis does not include any appreciation or depreciation of the investment. If you inherited the investment, your amount invested or cost basis will be the market value of the account at the time you inherited the investment. Remember, whenever an investment is acquired by gift or

inheritance the amount should also be provided in Section 2d Non-Taxable Income and any details may be explained in Section 12.

4g. Year-End Fair Market Value

Enter the total year-end fair market value for all investments at each institution. You may use the year-end market value as reported on your year-end statement or as provided by the financial institution. The market value may also be determined by multiplying the number of shares you own by the December 31st price per share as posted on the New York Stock Exchange, American Stock Exchange, or other market reference. The market value includes the amount you invested plus any subsequent appreciation or depreciation.

Section 5 - OWNED REAL ESTATE, U.S. AND FOREIGN

This section is intended for you to list any foreign and domestic real estate owned totally or in part by you, your spouse, or any of your dependent children during the preceding calendar year.

5a. Codes

Enter one or more of the following letters to describe the person(s) who maintain(s) the account:

- F = Filer
- S = Spouse
- D = Dependent child
- O = Other individual(s)

Example: A joint account held by husband and wife would be listed as "F,S."

5b. Address

Enter the address of property owned (Number, Street, City, State, and Zip code. If foreign property, specify country).

5c. US/Foreign Indicator

Enter whether the property owned is within the U.S. or a foreign country.

5d. Year of Purchase

Enter the year in which the property was purchased.

5e. Purchase Price

Enter the amount you paid for the property. If you are part owner of a property, enter the amount you contributed to the purchase. If you inherited a property, your cost basis is the fair market value at the time you inherited the property. Remember, whenever a property is acquired by gift or inheritance the amount should also be provided in Section 2d Non-Taxable Income, and any details may be explained in Section 12.

5f. Capital Improvement Costs

Enter the total cost of any capital improvements to the property since it was purchased. Capital improvements are alterations that add to the value of the property, such as remodeling of kitchens or adding a bathroom. Repair and replacement of worn out items does not constitute capital improvements.

- Do not report capital improvement costs under \$5,000.

Section 6 - OWNED VEHICLES, BOATS, AIRPLANES, OTHER

This section is intended for you to list any vehicles, boats, and airplanes owned by you, your spouse, or any of your dependent children during the preceding calendar year. Vehicles include RV's, motorcycles, trailers, tractors, etc. Use "Other" for items not defined as Vehicle, Boat, or Airplane.

- Report nothing if purchase price is less than \$1,000.

6a. Codes

Enter one or more of the following letters to describe the person(s) who maintain(s) ownership:

- F = Filer
- S = Spouse
- D = Dependent child
- O = Other individual(s)

Example: Joint ownership of a vehicle by husband and wife would be listed as "F,S."

6b. Type

Enter one of the following letters to describe the type:

- V = Vehicle
- B = Boat
- A = Airplane
- O = Other

6c. Make

Enter the manufacturer of the vehicle, boat, airplane, or other.

6d. Model/Year

Enter the model and year manufactured of the vehicle, boat, airplane, or other.

6e. Plate or ID Number

Enter the license plate number (to include state abbreviation e.g. VA, DC, MD) or Vehicle Identification Number of the vehicle, boat, airplane, or other.

6f. Year Purchased

Enter the year the vehicle, boat, airplane, or other was purchased.

6g. Purchase Price

Enter the amount you paid for the vehicle, boat, airplane or other. Do not list current fair market value or current assessed value. If you are part owner of a vehicle, boat, airplane or other or assisted another in purchasing such items, enter the amount you contributed to the purchase. If you inherited a vehicle, boat, airplane or other, your cost basis is the fair market value at the time you inherited the item. Remember, whenever a vehicle, boat, airplane or other is acquired by gift or inheritance, the amount should be also provided in Section 2d Non-Taxable Income and any details may be explained in Section 12.

Section 7 - REAL ESTATE YOU LEASE OR RENT FROM ANOTHER, U.S. AND FOREIGN

This section is provided for you to list any foreign and domestic real estate leased or rented totally or in part by you, your spouse, or any of your dependent children during the preceding calendar year.

- Do not report if monthly lease or rental payment is less than \$50.

7a. Codes

Enter one or more of the following letters to describe the person(s) who maintain(s) responsibility for the lease or rental:

- F = Filer
- S = Spouse
- D = Dependent child
- O = Other individual(s)

Example: Property leased or rented by husband and wife would be listed as "F,S."

7b. Address

Enter the address of the property you lease or rent (Number, Street, City, State, and Zip code. If foreign property, specify country).

7c. US/Foreign Indicator

Enter whether the property you lease or rent is within the U.S. or a foreign country.

7d. Year of Lease/Rental

Enter the year the property was initially leased or rented.

7e. Monthly Lease/Rental Payment

Enter the lease or rental monthly payment.

- Do not report if monthly lease or rental payment is less than \$50.

Section 8 - LEASED VEHICLES, BOATS, AIRPLANES, OTHER

This section is provided for you to list any vehicles, boats, and airplanes leased by you, your spouse, or any of your dependent children during the preceding calendar year. Vehicles include RV's, trailers, tractors, etc. Use "Other" for items not defined as Vehicle, Boat, or Airplane.

- Report nothing if lease payment is less than \$50.

8a. Codes

Enter one or more of the following letters to describe the person(s) who maintain(s) the lease:

- F = Filer
- S = Spouse
- D = Dependent child
- O = Other individual(s)

Example: Joint lease of a vehicle by husband and wife would be listed as "F,S."

8b. Type

Enter one of the following letters to describe the lease type:

- V = Vehicle
- B = Boat
- A = Airplane
- O = Other

8c. Make

Enter the manufacturer of the vehicle, boat, airplane, or other.

8d. Model/Year

Enter the model and year manufactured of the vehicle, boat, airplane, or other.

8e. Plate or ID Number

Enter the license plate number (to include state abbreviation e.g. VA, DC, MD) or Vehicle Identification Number of the vehicle, boat, airplane, or other.

8f. Year Leased

Enter the year the vehicle, boat, airplane, or other was initially leased.

8g. Monthly Lease/Rental Payment

Enter the monthly lease payment.

- Report nothing if lease payment is less than \$50.

Section 9 - OTHER ASSETS, U.S. AND FOREIGN

This section is intended for you to list any other assets with an estimated value of \$5,000 or more owned totally or in part by you, your spouse, or any of your dependent children during the preceding calendar year. This includes but is not limited to, antiques, art, and other collectibles*; jewelry; livestock; cash on hand or other monetary instruments (money orders, savings bonds, traveler's checks, etc.); trusts; cash value of whole life insurance policies, self-held securities or any other assets that are not listed elsewhere on this form.

The \$5,000 threshold applies to the category of the asset. For example, if you personally hold the certificates for \$8,000 worth of stock in Company A and your spouse holds certificates for \$4,000 worth of stock in Company B, you would report \$12,000 worth of stock in this section.

- Report nothing if the asset is valued less than \$5,000.

*A collectible can be defined as a rare object collected by investors with the expectation of appreciation. Examples are stamps, coins, oriental rugs, antiques, baseball cards, and photographs. While it is important to have a reliable baseline figure, it is not necessary to have an appraisal. Please provide the year end market value to the best of your ability. If you do not have records, your best honest estimate will suffice.

9a. Codes

Enter one or more of the following letters to describe the person(s) who maintain(s) the asset, or make your selection from the provided keyword list:

- F = Filer
- S = Spouse
- D = Dependent child
- O = Other individual(s)

Example: If you share ownership of an asset, such as a racehorse, through a limited partnership, you would enter "F,O."

9b. Description

Provide a description of the asset. If the asset is owned in part, include the percentage of the asset owned by you. If the asset(s) is a trust, indicate the name of the trust, the trustee and the type of assets held by the trust.

9c. US/Foreign Indicator

Enter whether the asset is U.S. or foreign held.

9d. Year of Purchase

Enter the year the asset was purchased. If you have purchased more than one asset of the same type (e.g. \$10,000 worth of jewelry purchased over a period of years), list the period of purchase (e.g. 1980 - 1985).

9e. Purchase Price or Other Cost Basis

Enter the amount you paid for the asset or item. Do not enter fair market value. If you inherited the asset or item, your cost basis is the fair market value at the time you inherited the asset. Remember, whenever an asset is acquired by gift or inheritance the amount should also be provided in Section 2d Non-Taxable Income, and any details may be explained in Section 12.

9f. Year-End Fair Market Value

Enter the total year-end fair market value for the asset or item. The market value includes the amount you invested plus any subsequent appreciation or depreciation. If the asset is a self-held stock, security, or bond, you may use the year-end market value as determined by multiplying the number of shares you own by the December 31st price per share as posted on the New York Stock Exchange, American Stock Exchange, or other market reference. If the asset or item is jewelry, antiques, art, coins, or other collectibles, enter the fair market value as best determined from publications or other reference materials. If the item is insured, you may use the insured value.

Section 10 - MORTGAGE, LOANS (including installment and personal loans), U.S. AND FOREIGN

This section is intended for you to list any mortgage or loan under the name or signature authority of you, your spouse, or any of your dependent children during the preceding calendar year. Do not report personal loans made between you, your spouse or your dependent children.

- Report nothing if the current balance is less than \$500.

10a. Codes

Enter one or more of the following letters to describe the person(s) who maintain(s) the mortgage or loan:

- F = Filer
- S = Spouse
- D = Dependent child
- O = Other individual(s)

Example: If you share ownership, with your spouse, of an asset such as a house or automobile, you would enter "F,S."

10b. Type of Loan

Enter one of the following characters (number or letters) to describe the loan type:

- 2 = 2nd Mortgage
- A = Auto
- E = Equity
- L = Line of Credit
- M = Mortgage
- O = Other Loan

- P = Personal

10c. Name of Creditor

Enter the name of the creditor or lender.

10d. US/Foreign Indicator

Enter whether the loan account is held at a U.S. or foreign financial institution.

10e. Address of Creditor

Enter the address of the creditor or lender (Number, Street, City, State, and Zip code. If foreign, specify country).

10f. Original Balance

Enter the original balance of the liability.

- Do not report if 'Year End' balance is less than \$500.

10g. Year-End Balance

Enter the year-end balance of the liability as of December of the preceding calendar year (if unavailable list the current balance).

- Do not report if year-end balance is less than \$500.

10h. Monthly Payment

Enter the monthly payment made on the liability.

Section 11 - OTHER LIABILITIES, U.S. AND FOREIGN

This section is provided for you to list all other liabilities such as credit accounts, judgments, garnishments, alimony, settlements, child support, etc.

- Report nothing if the year end balance is less than \$500.

11a. Codes

Enter one or more of the following letters to describe the person(s) who maintain(s) the liability:

- F = Filer
- S = Spouse
- D = Dependent child
- O = Other individual(s)

Example: If you share a liability, with your spouse, of a credit account, you would enter "F,S."

11b. Type of Liability

Enter the type of liability (e.g. child support, alimony).

11c. Name of Creditor

Enter the name of the creditor or the person who receives payment.

11d. US/Foreign Indicator

Enter whether the liability is paid to U.S. or foreign creditor or person.

11e. Address of Creditor

Enter the address of the creditor who receives payment (Number, Street, City, State, and Zip code. If foreign, specify country).

11f. Original Balance

Enter the original balance of the liability.

- Do not report if 'Year End' balance is less than \$500.

11g. Year-End Balance

Enter the year-end balance of the liability as of December of the preceding calendar year (if unavailable list the current balance).

- Report nothing if the year end balance is less than \$500.

11h. Monthly Payment

Enter the monthly payment of the liability.

- Report nothing if the year end balance is less than \$500.

Section 12 - ADDITIONAL INCOME/BANKRUPTCY

This section is intended for you to provide additional information that you believe will be useful to the reviewers or which you believe requires further explanation. If you have a Safe Deposit Box, list the names and addresses of all institutions where these are maintained in the appropriate field below (Safe Deposit Box/Comments).

12a. Item Type

Enter one of the following letters to describe the item:

- B = Bankruptcy
- G = Gift
- I = Inheritance
- S = Settlements
- T = Trusts
- W = Winnings
- O = Other

12b. Amount

Enter the dollar amount.

12c. Explanation

Provide an explanation regarding income from settlements, winnings, gifts, or inheritances that you received. Note the date and source of that income. If bankruptcy, provide the date and place filed.

Section 13 – SAFE DEPOSIT BOX/COMMENTS

List the names and addresses of all institutions where you have a safe deposit box. You may also provide any information which you believe to be useful to the reviewers or which you believe requires further explanation in this field.

13a. Name of Institution

Enter the name of the financial institution.

13b. Address of Institution

Enter the address of the financial institution where the account(s) is maintained (Number, Street, City, State, and Zip Code. If foreign, specify country).

13c. Explanation (optional)

Provide any information which you believe to be useful to the reviewers or which you believe requires further explanation in this field.

Section 14 - CERTIFICATION BY THE PERSON COMPLETING THE FORM

14a. Type Name

Enter your full name (Last, First, Middle Initial).

14b. Signature

Before mailing, sign the Financial Disclosure Report.

14c. Date Signed

Enter the date the Financial Disclosure Report was signed.